

09cd 07-18-01

PTO/SB/21(08/00)

Approved for use through 19/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | | |
|---|----|------------------------|------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 09/898,849 |
| | | Filing Date | July 3, 2001 |
| | | First Named Inventor | Todd A. Anderson |
| | | Group Art Unit | TBA |
| | | Examiner Name | To Be Assigned |
| Total Number of Pages in This Submission | 13 | Attorney Docket Number | 42390P11768 |

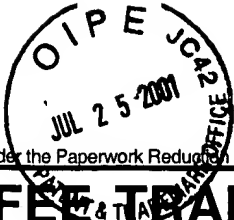
#2

| ENCLOSURES (check all that apply) | | |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div>Return Receipt Postcard</div> |
| Remarks | | |
| **Preliminary Amendment | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|--|
| Firm or Individual name | Joseph Lutz, Reg. No. 43,765 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN |
| Signature | |
| Date | July 23, 2001 |

| CERTIFICATE OF MAILING | | | |
|--|--------------|------|----------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: July 23, 2001 | | | |
| Typed or printed name | Marilyn Bass | | |
| Signature | | Date | 07/23/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision.

Complete if Known

| | |
|------------------------|--------------------------|
| Application Number | 09/898,849 |
| Filing Date | 07/03/01 |
| First Named Inventor | Todd A. Anderson, et al. |
| Examiner Name | To Be Assigned |
| Group Art Unit | TBA |
| Attorney Docket Number | 42390P11768 |

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

- ☒ Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. FILING FEE

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-------------------|-----------------------|-------------------|-----------------------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. CLAIMS

| Total Claims | Extra | Fee from below | Fee Paid |
|------------------------------|----------|----------------|----------|
| Independent Claims <u>35</u> | <u>7</u> | <u>7</u> | |

Multiple Dependent Claims

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description |
|-------------------|-----------------------|-------------------|-----------------------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 30 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple Dependent claim |
| 109 | 80 | 209 | 40 | Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEE

| Large Entity Code | Large Entity Fee (\$) | Small Entity Code | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-------------------|-----------------------|-------------------|-----------------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet. | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920 | 112 | 920 | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840 | 113 | 1,840 | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for response within first month | |
| 116 | 390 | 216 | 195 | Extension for response within second month | |
| 117 | 890 | 217 | 445 | Extension for response within third month | |
| 118 | 1,390 | 218 | 695 | Extension for response within fourth month | |
| 128 | 1,890 | 228 | 945 | Extension for response within fifth month | |
| 119 | 310 | 219 | 155 | Notice of Appeal | |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal | |
| 121 | 270 | 221 | 135 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidably | |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentionally | |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) | |
| 143 | 440 | 243 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

SUBTOTAL (3) (\$)

* Reduced by Basic Filing Fee Paid

SUBMITTED BY

| | | | |
|-----------------------|------------------------------|--------------------------|-------------|
| Typed or Printed Name | Joseph Lutz, Reg. No. 43,765 | Complete (if applicable) | Reg. Number |
| Signature | | Date | 7/23/2001 |
| | | Deposit Account User ID | 02-2666 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



Attorney's Docket No. 42390P11768

2/A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Todd A. Anderson et al.

Serial No.: 09/898,849

Filed: July 3, 2001

For: AN APPARATUS AND METHOD FOR SECURE,
AUTOMATED RESPONSE TO DISTRIBUTED
DENIAL OF SERVICE ATTACKS

Examiner: Unknown

Art Unit: Unknown

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Box: Non-Fee Amendment
Washington, DC 20231

Dear Sir:

Please amend the above-identified patent application as follows prior to examination of a non-provisional patent application filed on July 5, 2001.

IN THE SPECIFICATION

Please replace paragraph [002] as follows:

a¹
[002] The advent of the Internet provides Internet users with a worldwide web of information at the click of a button. Accordingly, various businesses have responded to the incredible reach provided by the Internet to enable commerce via channels provided by the Internet. As such, the Internet has become a key mechanism for business to consumer (B2C) and business to business (B2B) commerce. Moreover, many entertainment providers have been quick to utilize the Internet as an additional venue for presenting their entertainment content to users.

Please replace paragraph [0036] as follows:

a²
[0036] Referring now to FIG. 3, FIG. 3 depicts a block diagram illustrating a subset of the components of a conventional router 202. The router 202 includes a forwarding plane 280 containing an egress filter 206 and a forwarding decision block 290. The egress filter 206 drops traffic matching certain specifications as provided by the control plane 210. The forwarding decision block 290 decides how to forward the traffic. Accordingly, when a piece of network traffic (packet) is locally addressed, the forwarding decision block 280 forwards the packet to the control plane 210 where it is processed.